DATE: June 13, 2002

LETTER TO: All Medicare+Choice Organizations (M+COs)

FROM: Gary Bailey, Director /s/

SUBJECT: **Delay of the Lock-in Provisions/Impacts to Enrollment Processing with the Centers for Medicare & Medicaid Services (CMS)--ACTION**

The President has signed the Bioterrorism Preparedness Act of 2001 yesterday, June 12. As you know, this Act delays the implementation of the Lock-in Provisions of the Balanced Budget Act (BBA) until 2005. These provisions mandated specific timeframes when Medicare beneficiaries could enroll, disenroll and/or elect a plan. The Act allows beneficiaries to continue to enroll or disenroll on a monthly basis.

The purpose of this letter is to notify you regarding the revised systems changes and the implementation schedule resulting from this Act.

Basically, CMS will still require the reporting of the <u>PBP Identifier</u> and the <u>Application Signature Date</u> on enrollments, and on the new PBP election transaction code 71 to process PBP elections.

M+COs will **not** report the type of election; i.e., AEP, OEP.

CMS will **not** implement the lock-in provisions meaning election limits will not be counted or applied to any transaction.

Revised System Changes

CMS had notified you in a systems letter dated April 25, 2001 about the revised transactions and in another systems letter dated July 18, 2001 about the revised reports. This section details changes to the formats that were described to you in those letters.

Data submittal requirements for transaction types 71 (PBP Election), 61 (Enrollment), 60 (EGHP Retroactive Enrollment) and 51 (Disenrollment) will be revised. There will be a minor revision to the Transaction Reply Report (TRR) to remove the Election Type field, and some transaction reply codes will now be eliminated. See attached transaction and report layouts.

- **Transaction type 71** – The Institutional Flag has been removed from the layout and the Election Type field is now the PBP Correction Flag. The transaction length remains 80 characters. M+COs are to input an X in the PBP Correction Flag field when <u>correcting</u> a PBP Identifier with no change in the effective date. Please note that this function will only be available until the systems cutoff day in December (12/10/2002). You will receive transaction reply code 112 (Rejected; Conflicting Dates) if you submit PBP corrections after 12/10/2002. M+COs are to leave the PBP Correction Flag blank when <u>reporting</u> a PBP election for a member.

Trans Type	Purpose	Timeframe	Data Reqs
71/X	Correct PBP	June 1 – December 10, 2002	Application Signature Date and Effective Date* are NOT required. Place an X in the PBP Correction Flag field. All other data on the layout is required.
71/ no X	Report PBP election	June 1 and ongoing	Do not input data in the PBP Correction Flag field. All other data on the layout is required.

* = The 71X transaction will update only the PBP # of an open PBP period back to 6/1/2002 or whenever the PBP period began (if it began after that date). M+COs cannot update the PBP # of a closed PBP period. If this occurs, transaction reply code 112 (Rejected; Conflicting Dates) will be received.

- **Transaction types 61 and 60** – The Institutional Flag and the Election Type fields have been removed from the layout. The transaction length remains 80 characters. If data is provided in these fields, the transaction will not be rejected but the data will not be processed. The PBP Identifier and the Application Signature Date are still required.

- **Transaction type 51** - The Institutional Flag and the Election Type fields have been removed from the layout. The transaction length remains 80 characters. The PBP Identifier and the Application Signature Date fields are not required to be reported on this transaction type. If data is provided in these fields, the transaction will not be rejected but the data will not be processed.

- **Transaction Reply report** – The Election Type field has been removed from the layout, but the PBP Identifier remains. The length of the file remains 133 characters.

- **Monthly Membership report** – There is no change to this report; the PBP Identifier remains. The length of the file remains 200 characters.

- **Transaction Reply Codes** – New transaction reply codes (100-112) were added to notify you of PBP and election limit processing (See revised listing in the Qs and As located at http://CMS.HHS.GOV/HEALTHPLANS/SYSTEMS/PBPLOCKIN.HTM.) Based on the legislation delaying the implementation of the election limits, the following codes will <u>not</u> be reported.

101	Rejected; invalid institutional flag
103	Transaction orbiting; ICEP election with missing A/B entitlement date
104	Rejected; invalid or missing election type
105	Rejected; invalid effective date for election type
108	Rejected; election limits exceeded

<u>Implementation Schedule</u>

PBP processing will be phased-in over the July 1 and August 1 enrollment and payment cycles.

<u>July 1 Cycle (June 1 – June 13)</u>
M+COs can submit transactions in the revised formats beginning June 1; processing will occur as follows.

TRANS TYPE	**RESULT**
51	Processed; appear on 7/1 TRR*/MMR
60 – valid PBP	Processed; appear on 7/1 TRR*/MMR
60 – invalid PBP	Processed; not rejected, appear on 7/1 TRR*/MMR; but default PBP will appear on the 7/1 MMR
61 – valid PBP	Processed; appear on 7/1 TRR*/MMR
61 – invalid PBP	Processed; not rejected, appear on 7/1 TRR*/MMR; but default PBP will appear on the 7/1 MMR
71X	Hold; will not appear on 7/1 TRR/MMR
71 no X	Hold; will not appear on 7/1 TRR/MMR

* = The results of processing the transaction types 51, 60 and 61 will appear on the Transaction Reply Report (TRR), but NOT the associated PBP #. The revised TRR format will not be available until after the August 1 run.

August 1 Cycle (June 19 – July 12)
M+COs continue to submit transactions in the revised formats; processing will occur as follows. The revised TRR format is implemented.

TRANS TYPE	RESULT
51	Processed; appear on 8/1 TRR/MMR
60 – valid PBP	Processed; appear on 8/1 TRR/MMR
60 – invalid PBP	Rejected, appear on the 8/1 TRR
61 – valid PBP	Processed; appear on 8/1 TRR/MMR
61 – invalid PBP	Rejected, appear on the 8/1 TRR
71X	Processed; all such transactions submitted since June 1 will appear on the 8/1 TRR/MMR
71 no X	Processed; all such transactions submitted since June 1 will appear on the 8/1 TRR/MMR

After the August 1 cycle, processing and reporting will occur normally.

Contact Information

If you have any general questions concerning the material contained in this letter, please contact Kim Miegel at 410-786-3311 or Kmiegel@cms.hhs.gov.

If you have technical questions, please contact the Central Office technical staff person assigned to the region where your M+CO is located.

REGION	CONTACT	PHONE #	E-MAIL
I – III and VII	Sarah Brown	410-786-6358	Sbrown1@cms.hhs.gov
IV – VI	Sue Hartmann	410-786-6192	Shartmann@cms.hhs.gov
VIII – X	Sue Mathis	410-786-6938	Smathis@cms.hhs.gov

Attachments

M+CO Enrollment Transaction Type

61 or 60

#	FIELD NAME	LEN	COLS	DESCRIPTION
1	CLAIM.NUM	12	1-12	9 digit SSN + 2 char BIC (Beneficiary Identification Code) OR 12 char RRB (Railroad Retirement Board) Number
2	SURNAME	12	13-24	Beneficiary Surname
3	FIRST.NAME	7	25-31	Beneficiary Given Name
4	MIDDLE.INITIAL	1	32-32	Beneficiary Middle Initial
5	SEX.CD	1	33-33	Beneficiary Sex Code: '1' = Male '2' = Female '0' = Unknown
6	BIRTH.DT	8	34-41	Beneficiary Birth Date Format: YYYYMMDD
7	[Reserved]	1	42-42	SPACES
8	PBP.ID	3	43-45	Plan Benefit Package Id Format: 999
9	[Reserved]	1	46-46	SPACES
10	CONTRACT.NUM	5	47-51	Contract Number
11	SIGNATURE.DT	8	52-59	Date Beneficiary signed Application to enroll in Contract and elect Plan Benefit Package Format: YYYYMMDD
12	TRAN.CD	2	60-61	Transaction Type Code: '60' = Employer Group Enrollment '61' = Enrollment
13	[Reserved]	2	62-63	SPACES
14	EFFECT.DT	8	64-71	Enrollment and Election Effective Date Format: YYYYMMDD
15	[Reserved]	8	72-79	SPACES
16	PRIOR.COM.CT	1	80-80	Prior Commercial Month Count: '1' thru '9' = number of months 'A' thru 'F' = 10 months thru 15 months '0', SPACE = 0 months (TRAN.CD must be '61')

M+CO Election Transaction Type 71

#	FIELD NAME	LEN	COLS	DESCRIPTION
1	CLAIM.NUM	12	1-12	9 digit SSN + 2 char BIC (Beneficiary Identification Code) OR 12 char RRB (Railroad Retirement Board) Number
2	SURNAME	12	13-24	Beneficiary Surname
3	FIRST.NAME	7	25-31	Beneficiary Given Name
4	MIDDLE.INITIAL	1	32-32	Beneficiary Middle Initial
5	SEX.CD	1	33-33	Beneficiary Sex Code: '1' = Male '2' = Female '0' = Unknown
6	BIRTH.DT	8	34-41	Beneficiary Birth Date Format: YYYYMMDD
7	[Reserved]	1	42-42	SPACES
8	PBP.ID	3	43-45	Plan Benefit Package Id Format: 999
9	**CORRECTION.FLAG**	**1**	**46-46**	**'X' = Correction Transaction NOT 'X' = Ignored/No Meaning**
10	CONTRACT.NUM	5	47-51	Contract Number
11	SIGNATURE.DT	8	52-59	**Date Beneficiary signed Application to elect a different Plan Benefit Package** **Format: YYYYMMDD REQUIRED UNLESS CORRECTION.FLAG = 'X'**
12	TRAN.CD	2	60-61	Transaction Type Code: '71' = Plan Benefit Package Election
13	[Reserved]	2	62-63	SPACES
14	EFFECT.DT	8	64-71	Election Effective Date Format: YYYYMMDD **REQUIRED UNLESS CORRECTION.FLAG = 'X'**
15	[Reserved]	9	72-80	SPACES

Disenrollment Transaction Type 51

#	FIELD NAME	LEN	COLS	DESCRIPTION
1	CLAIM.NUM	12	1-12	9 digit SSN + 2 char BIC (Beneficiary Identification Code) OR 12 char RRB (Railroad Retirement Board) Number
2	SURNAME	12	13-24	Beneficiary Surname
3	FIRST.NAME	7	25-31	Beneficiary Given Name
4	MIDDLE.INITIAL	1	32-32	Beneficiary Middle Initial
5	SEX	1	33-33	Beneficiary Sex Code: '1' = Male '2' = Female '0' = Unknown
6	BIRTH.DT	8	34-41	Beneficiary Birth Date Format: YYYYMMDD
7	[Reserved]	5	42-46	SPACES
8	CONTRACT.NUM	5	47-51	Contract Number
9	[Reserved]	8	52-59	SPACES
10	TRAN.CD	2	60-61	Transaction Type Code: '51' = Disenrollment
11	[Reserved]	2	62-63	SPACES
12	EFFECT.DT	8	64-71	Disenrollment Date Format: YYYYMMDD
13	[Reserved]	9	72-80	SPACES

Transaction Reply - Data File

#	Field Name	Len	Pos	Description
	2002 Transaction Reply Data File Record Layout			
1	Claim Number	12	1-12	Claim Number as Entered External Format
2	Surname	12	13-24	Surname
3	First Name	7	25-31	First Name
4	Initial	1	32-32	Initial
5	Sex	1	33-33	1 = Male 2 = Female 0 = Unknown
6	Birth Date	8	34-41	FORMAT YYYYMMDD
7	Medicaid Indicator	1	42-42	1 = Medicaid Status 0 = Not Medicaid Status
8	Contract Number	5	43-47	Contract Number
9	State Code	2	48-49	State Code
10	County Code	3	50-52	County Code
11	Disabled Indicator	1	53-53	1 = Disabled 0 = Not Disabled
12	Hospice Indicator	1	54-54	1 = Hospice Status 0 = Not Hospice Status
13	Institutional/NHC Indicator	1	55-55	1 = Institutional Status 2 = NHC Status 0 = Not Institutional/NHC Status
14	ESRD Indicator	1	56-56	1 = ESRD Status 0 = Not ESRD Status
15	Transaction Reply Code	3	57-59	FORMAT 999
16	Transaction Type Code	2	60-61	FORMAT 99
17	Entitlement Type Code	1	62-62	See Note 1
*18	Effective Date	8	63-70	IF TRANSACTION REPLY ONE OF: 011,012,016,017,021-023,038,052,080,082-084,100,109,112 *THEN contains Transaction Effective Date* FORMAT YYYYMMDD

#	Field Name	Len	Pos	Description
19	Working Aged Indicator	1	71-71	1 = Working Aged Status 0 = Not Working Aged Status
*20	Plan Benefit Package Id	3	72-74	FORMAT 999
*21	[Reserved]	1	75-75	SPACES
22	Transaction Date	8	76-83	FORMAT YYYYMMDD
23	FILLER	1	84-84	SPACES
	DATA GROUP FIELDS 24 - 25	**12**	**85-96**	**IF TRANSACTION REPLY = 022, 025 or 086** **THEN contains Claim Number**
24 & 25	Claim Number	12	85-96	Claim Number as Filed External Format
	DATA GROUP FIELDS 24 - 25	**12**	**85-96**	**IF TRANSACTION REPLY ONE OF: 013,014,018,021,024,027-029,035,036,045,048,049,053-056,066,067,071-084,089-092,099** **THEN contains Transaction Effective Date**
24	Transaction Effective Date	8	85-92	FORMAT YYYYMMDD
25	FILLER	4	93-96	SPACES
	DATA GROUP FIELDS 24 – 25	**12**	**85-96**	**IF TRANSACTION REPLY = 085** **THEN contains Residence SCC**
24	Residence SCC	5	85-89	FORMAT SSCCC 2 digit state code plus 3 digit county code
25	FILLER	7	90-96	SPACES
26	SSA District Office Number	3	97-99	IF TRANSACTION TYPE = 53 THEN contains SSA District Office Number
27	Demographic Part A Rate	8	100-107	FORMAT ZZZZ9.99
28	Demographic Part B Rate	8	108-115	FORMAT ZZZZ9.99
29	Source Code	5	116-120	Contract Number of MCO

2002 Transaction Reply Data File Record Layout

#	Field Name	Len	Pos	Description
2002 Transaction Reply Data File Record Layout				
				submitting transaction, or Program Identifier for system-generated transactions
*30	Old Plan Benefit Package Id	3	121-123	IF TRANSACTION TYPE = 71 THEN contains Old Plan Benefit Package Id
*31	FILLER	10	124-133	SPACES